



APR 09 2003

**TRANSMITTAL  
FORM**

*(to be used for all correspondence after initial filing)*

<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>		Application Number	10/682,807	<b>RECEIVED</b> <b>APR 11 2003</b>
		Filing Date	02/22/2002	
		First Named Inventor	David Bau III	
		Art Unit	2151	
		Examiner Name	Not Yet Assigned	
Total Number of Pages in This Submission		Attorney Docket Number	109870-130103	

NOV 06 2003

Approved for use through 04/30/2008. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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APR 11 2003

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**Total Number of Pages in This Submission**

**ENCLOSURES**      *(Check all that apply)*

ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to a Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please Identify below): 1) Copies of 20 IDS citations; and 2) Return Receipt Postcard.
Remarks		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual	Jason K. Klindtworth, Reg. No. 47,211 SCHWABE, WILLIAMSON & WYATT, P.C.
Signature	
Date	04/03/2003

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 04/03/2003

Typed or printed	Heather L. Adamson
Signature	

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 0.00)

## Complete if Known

Application Number	10/082,807
Filing Date	February 22, 2002
First Named Inventor	David Bau III
Examiner Name	Not Yet Assigned
Art Unit	2151
Attorney Docket No.	109870-130103
	Technology Center 2100

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APR 11 2003

## METHOD OF PAYMENT (check all that apply)

 Check  Credit card  Money Order  Other  None
 Deposit Account:Deposit Account Number  
Deposit Account Name

500393

Schwabe, Williamson &amp; Wyatt, P.C.

The Commissioner is authorized to: (check all that apply)

 Charge fee(s) indicated below  Credit any overpayments  
 Charge any additional fee(s) during the pendency of this application  
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.
 

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
1001 750	2001 375	Utility filing fee	
1002 330	2002 165	Design filing fee	
1003 520	2003 260	Plant filing fee	
1004 750	2004 375	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
SUBTOTAL (1)		(\$ 0.00)	

## 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid
			-20** =	X	=
			-3** =	X	=

Large Entity	Small Entity	Fee Description
Fee Code (\$)	Fee Code (\$)	
1202 18	2202 9	Claims in excess of 20
1201 84	2201 42	Independent claims in excess of 3
1203 280	2203 140	Multiple dependent claim, if not paid
1204 84	2204 42	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)		(\$ 0.00)

\*\*or number previously paid, if greater; For Reissues, see above

## 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 410	2252 205	Extension for reply within second month	
1253 930	2253 465	Extension for reply within third month	
1254 1,450	2254 725	Extension for reply within fourth month	
1255 1,970	2255 985	Extension for reply within fifth month	
1401 320	2401 160	Notice of Appeal	
1402 320	2402 160	Filing a brief in support of an appeal	
1403 280	2403 140	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,300	2453 650	Petition to revive - unintentional	
1501 1,300	2501 650	Utility issue fee (or reissue)	
1502 470	2502 235	Design issue fee	
1503 630	2503 315	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 750	2809 375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 750	2810 375	For each additional invention to be examined (37 CFR 1.129(b))	
1801 750	2801 375	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0.00)

## SUBMITTED BY

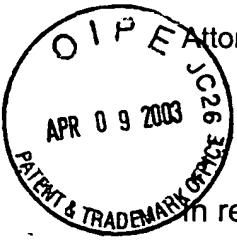
(Complete if applicable)

Name (Print/Type)	Jason K. Klindtworth	Registration No. (Attorney/Agent)	47,211	Telephone 503-222-9981
Signature			Date	04/03/2003

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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Attorney's Docket No. 109870-130103

Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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In re Application for:

David Bau III, et al.

Application No.: 10/082,807

Filed: 02/22/2002

For: ANNOTATION BASED  
DEVELOPMENT PLATFORM FOR  
ASYNCHRONOUS WEB  
SERVICES

Examiner: Not yet assigned

Art Group: 2151

APR 11 2003  
Technology Center 2100

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450 on:

Date of Deposit: April 3, 2003

Name of Person Mailing: Heather L. Adamson

Signature: Heather L. Adamson Date: 4/3/2003

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. § 1.97(g), the submission of this Information Disclosure Statement (IDS) is not to be construed as a representation that a search has been made, and, pursuant to 37 C.F.R. § 1.97(h), the submission of this IDS is not to be construed as an admission that the information cited in this IDS is material to patentability.

This IDS is being submitted under one or more of the following sections of 37

C.F.R. § 1.97 (as indicated by an "X" to the left of the appropriate paragraph(s)):

X 37 C.F.R. § 1.97(b). Filed:

- (1) Within three months of a National Application other than a CPA;
- (2) Within three months of entry into National Stage;
- (3) Before mailing of a first Office Action on the merits; or
- (4) Before mailing of a first Office Action after filing an RCE.

       37 C.F.R. § 1.97(c). Filed before the mailing of a Final Office Action, Notice of Allowance, or an action that otherwise closes prosecution.

And, ONE of the following:

(1) One statement from 37 C.F.R. § 1.97(e);

      (e)(1) The person signing below certifies that each item of information contained in this IDS was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS; or

      (e)(2) The person signing below certifies that no item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing below after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 1.56(c) more than three months prior to filing this IDS.

**OR**

(2) The fee set forth in 37 C.F.R. § 1.17(p).

      A check in the amount of \$180.00 is enclosed.

       37 C.F.R. § 1.97(d). Filed on or before payment of the issue fee.

And, BOTH of the following:

(1) one statement from 37 C.F.R. § 1.97(e);

      (e)(1) The person signing below certifies that each item of information contained in this IDS was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS; or

      (e)(2) The person signing below certifies that no item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing below after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 1.56(c) more than three months prior to filing this IDS.

**AND**

(2) The fee set forth in 37 C.F.R. § 1.17(p).

      A check in the amount of \$180.00 is enclosed.

Accompanying this IDS is a listing of references and a copy of each reference, EXCEPT references pursuant to one or more of the following sections of 37 C.F.R. § 1.98 (as indicated by an "X" to the left of the appropriate paragraph(s)):

37 C.F.R. § 1.98(c) as being cumulative (marked with an \*\*).  
 37 C.F.R. § 1.98(d) as being previously submitted in parent application  
\_\_\_\_/\_\_\_\_, to which the present application claims priority under 35 U.S.C. § 120.

The Commissioner is hereby authorized to charge shortages or credit overpayments to Deposit Account No. 500393. A Fee Transmittal is enclosed in duplicate for fee processing purposes.

Respectfully submitted,  
SCHWABE, WILLIAMSON & WYATT, P.C.

Dated: 3/4/03

  
\_\_\_\_\_  
Jason K. Klindtworth  
Registration No. 47,211

Pacwest Center, Suites 1600-1900  
1211 SW Fifth Avenue  
Portland, Oregon 97204  
Telephone: 503-222-9981

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				Complete if Known		
 1 Sheet			Application Number		10/082,807	<b>RECEIVED</b>
			Filing Date		02/22/2002	APR 1 2003
			First Named Inventor		David Bau III	
			Group Art Unit		2151	Technology Center 2100
			Examiner Name		Not yet assigned	
			Attorney Docket Number		109870-130103	

## U.S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

Examiner Signature		Date Considered	
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**Examiner:** Initial if reference considered, whether or not citation is in conformance with MPEP 609.  
Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

O P E  
APR 09 2003  
SEARCHED  
SERIALIZED  
FILED  
U.S. PATENT & TRADEMARK OFFICE  
**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

				Complete if Known		
				Application Number	10/082,807	RECEIVED
				Filing Date	02/22/2002	
				First Named Inventor	David Bau III	APR 11 2003
				Group Art Unit	2151	Technology Center 2100
				Examiner Name	Not yet assigned	
				Attorney Docket Number	109870-130103	
Sheet	2	of	2			

**OTHER ART (INCLUDING TITLE, AUTHOR, DATE, PERTINENT PAGES, ETC.)**

Exam. Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
	11	BANBARA et al., "Translating a Linear Logic Programming Language into Java," Electronic Notes in Theoretical Computer Science, 1999, pgs. 1-15
	12	BINDING et al., "Generation of Java Beans to Access XML Data," Proceedings of the first International Conference on Web Information Systems Engineering, June 2000, vol. 2, pgs. 143-149
	13	CHANDRAMOULI, R., "Application of XML Tools for Enterprise-Wide RBAC Implementation Tasks," Proceedings of the 5 <sup>th</sup> ACM Workshop on Role-based Access Control, July 2000, pgs. 11-18
	14	HA et al., "Mapping XML Documents to the Object-Relational Form," IEEE, 06/12/01, pgs. 1757-1761
	15	IMAMURA et al., "Mapping between ASN.1 and XML," January 2001, Proceedings of the 2001 Symposium on Application and the Internet, pgs. 57-64
	16	RUNDENSTEINER et al., "Maintaining Data Warehouses over Changing Information Sources," Communications of the ACM, June 2000, vol. 43, no. 6, pgs. 57-62
	17	SAHUGUET et al., "Looking at the Web through XML glasses," Proceedings of the 1999 IFCIS International Conference on Cooperative Information Systems, September 1999, pgs. 148-159
	18	SUZUKI et al., "Managing the Software Design documents with XML," ACM, 1998, pgs. 127-136
	19	WALLACE et al., "Haskell and XML: Generic Combinations or Type-Based Translation?" ACM, 1999, pgs. 148-159
	20	ZWOL et al., "The Webspace Method: On the Integration of Database Technology with Multimedia Retrieval," Proceedings of the 9 <sup>th</sup> International Conference on Information and Knowledge Management, November 2000, pgs. 438-445

Examiner Signature	Date Considered
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**Examiner:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.